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PATENT

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Carfi et al.

Serial No.: 09/683,515

Filed: January 11, 2002

For: SYSTEMS AND METHODS FOR  
PERFORMING FINANCIAL ANALYSIS  
OF PROPOSED CAPTIVE  
REINSURANCE OPTIONS

Group: 2152

Examiner: Not Assigned Yet



I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231, on the date set forth below:

Signed: Marianna Tortorelli

Name: Marianna Tortorelli

Date: April 10, 2002

Commissioner for Patents  
Attn: Box Missing Parts  
Washington, DC 20231

Chapel Hill, North Carolina  
April 10, 2002

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF  
NONPROVISIONAL APPLICATION**

Sir:

In response to the Notice to File Missing Parts of Nonprovisional Application dated February 21, 2002, enclosed is a copy of said Notice and Declaration for the above identified case.

Also enclosed are 12 sheets of substitute drawings and a check in the amount of \$130 to cover the surcharge. Please charge any underpayment of credit any overpayment of this fee to Deposit Account No. 50-1058. A duplicate copy of this Response is enclosed.

Respectfully submitted,

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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/683,515	01/11/2002	Timothy M. Carfi	109.0019

27997  
 PRIEST & GOLDSTEIN PLLC  
 529 DOGWOOD DRIVE  
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CONFIRMATION NO. 1523

## FORMALITIES LETTER



Date Mailed: 02/21/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

\*The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:

- drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

*Linh C*

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Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE